

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 07-2004)

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

5397-102US/P28243-A-USA

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/508787**

INTERNATIONAL APPLICATION NO.

**PCT/US03/15120**

INTERNATIONAL FILING DATE

**14 May 2003**

PRIORITY DATE CLAIMED

**17 May 2002**

TITLE OF INVENTION

**EXPRESSIVE FEATURE MECHANISM FOR ANIMATED CHARACTERS AND DEVICES**

APPLICANT(S) FOR DO/EO/US

**Brian Patton**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 23 below concern document(s) or information included:**

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☒ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV 460926101 US**
23. ☒ Other items or information:

Form PCT/IPEA/402 - 1 page

Form PCT/IB/332 - 1 page

Form PTO-2038 for filing fee

Form PTO-2038 for assignment recordal fee

PCT Demand - 3 pages

Form PCT/IB/308 - 1 page

U.S. APPLICATION NO. (if known) <b>10/508787</b>	INTERNATIONAL APPLICATION NO. <b>PCT/US03/15120</b>	ATTORNEY'S DOCKET NUMBER <b>5397-102US/P28243-A-US</b>
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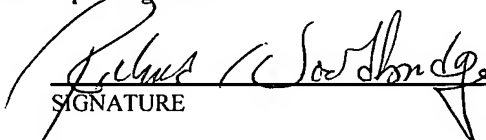
24. The following fees are submitted:.				<b>CALCULATIONS PTO USE ONLY</b>	
<b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b>					
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....				\$1080.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....				\$920.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....				\$770.00	
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....				\$730.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....				\$100.00	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$730.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				<b>\$0.00</b>	
<b>CLAIMS</b>	<b>NUMBER FILED</b>	<b>NUMBER EXTRA</b>	<b>RATE</b>		
Total claims	13 - 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	1 - 3 =	0	x \$86.00	<b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$730.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$365.00</b>	
<b>SUBTOTAL =</b>				<b>\$365.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$365.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				<b>\$40.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$405.00</b>	
				<b>Amount to be: refunded</b>	<b>\$</b>
				<b>charged</b>	<b>\$</b>

- a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3040
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Richard C. Woodbridge, Esq.  
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Princeton, N.J. 08542-0592

  
SIGNATURE  
Richard C. Woodbridge  
NAME  
26,423  
REGISTRATION NUMBER  
Sept 23, 2004  
DATE

10/508787

DT04 Rec'd PCT/PTO 23 SEP 2004

FILE NUMBER 5397-102US/P28243-A-USA

"EXPRESS MAIL CERTIFICATE"

"Express Mail" Mailing Label Number: EV 460926101 US

Express Mail Corporate Account Number: X085783

Date of Deposit: Sept. 23, 2004

Title: EXPRESSIVE FEATURE MECHANISM FOR ANIMATED CHARACTERS AND DEVICES

INVENTOR: Brian Patton

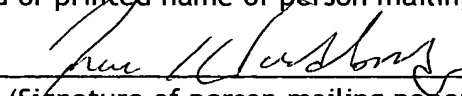
Type of Documents:

1. PCT National Phase Transmittal Letter for PCT/US03/15120 (x2);
2. Form PTO-2038 for US national phase filing fee of \$365.00 - 1 page;
3. Preliminary Amendment - 3 pages;
4. Drawings with labels on backs - 13 pages;
5. Copy of PCT Published Application PCT/US03/15120 - 26 pages, including drawings;
6. PCT International Preliminary Examination Report and annexes - 6 pages;
7. PCT Search Report - 3 pages;
8. Form PCT/IPEA/402 (Notification of Receipt of Demand) - 1 page;
9. PCT Demand - 3 pages;
10. Form PCT/IB/332 (Information Concerning Elected Offices Notified of their Election) - 1 page;
11. Form PCT/IB/308 (Notice Informing Applicant of the Communication of International Application to the Designated Offices) - 1 page;
12. Executed Declaration and Power of Attorney - 3 pages;
13. Recordation Form Cover Sheet (1 page) and Executed Assignment (1 page);
14. Form PTO-2038 for assignment recordal of \$40.00;
15. Information Disclosure Citation citing 9 patent references - 2 pages;
16. This "Express Mail" Certificate; and;
17. Acknowledgment Post Card.

I hereby certify that the enclosed documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450 - Mail Stop PCT

Richard C. Woodbridge, Esq.

(Typed or printed name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)